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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/630,392	07/30/2003	Prasanna Amitabh	CHA920030017US1	9419
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HOFFMAN WARNICK LLC 75 STATE STREET 14TH FLOOR ALBANY, NY 12207			EXAMINER ROBINSON BOYCE, AKIBA K	
			ART UNIT 3628	PAPER NUMBER
			NOTIFICATION DATE 05/27/2008	DELIVERY MODE ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

PTOCommunications@hwdpatents.com

<b>Office Action Summary</b>	<b>Application No.</b> 10/630,392	<b>Applicant(s)</b> AMITABH ET AL.	
	<b>Examiner</b> AKIBA K. ROBINSON BOYCE	<b>Art Unit</b> 3628	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 18 February 2008.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-26 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-26 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

## **DETAILED ACTION**

### ***Status of Claims***

1. Due to communications filed 2/18/08, the following is a final office action. Claims 1, 10 and 18 have been amended. Claims 1-26 are pending in this application and have been examined on the merits. The previous rejection has been maintained, and claims 1-26 are rejected as follows.

### ***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1-6, 9-11, 13-16, 18-23, and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Angel, (U.S. Patent Pub. No. US 2002/0133392 A1) (hereinafter Angel).

As per Claim 1, Angel discloses a customer relationship management (CRM) system that is accessible via a network, comprising:

-a user interface that provides distributed access for customers and support providers

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to case information within the CRM system, wherein the user interface provides access to a customer case management page for viewing all cases opened for a given customer and a case summary page for viewing details of individual cases stored within the CRM system, (0025, w/ 0030, shows returned content list as a Knowledge container, in this case, it is obvious that the page would create a viewing for a given customer. Even though Angel describes information is being retrieved about customer service personnel, case information, and details of the case are still being retrieved for an entity of that particular network, thereby making this limitation obvious with Angel)

- a case management system for managing customer cases, wherein the case management system includes a system for assigning cases to different tiers within a support provider hierarchy; (0059; 0060; 0065; 0078; 0087; 0100) and
- a compliance tracking system that retrieves previously loaded customer compliance data from a database; wherein the compliance data consists of information related to whether a customer has met certain required pre-set goals set by the CRM system, compares the compliance data for each customer with predetermined levels to determine customer compliance and provides a compliance indicator on the customer case management page, ([0061], shows a call center customer database is used for entering in customer contact information, product used by the customer, type of problem being experienced by the customer, etc, and the data in database is communicated over the network to the content provider [therefore making retrieving the data from the database inherent], the content provider then recognizes the user (by username, or a session identifier passed by the customer service representative [through entry in the

database]), and subsequently begins the automated CRM session at the particular dialog state specified by the customer service representative, in this case, the customer compliance is represented by the information entered into the call center customer database since data such as the product used by customer, and problems experienced by customer has an effect and/or relates to a customer meeting his or her goals by being escalated or deescalated into to a session, thereby making “comparing” inherent since information from the database has to be recognized by the content provider and therefore some type of comparing between database information, and information that the content provider already recognizes must take place. In addition, the compliance indicator is represented by the actual CRM session being executed in the particular dialog state specified since in [0059], it is shown that the user is prompted [this prompt must be prior to escalating/deescalating a CRM session, and this type of information would be included in the Knowledge container as the description and link to online information and services as shown in [0030], w/((0087) (Includes an exit node indicator on the customer session page that serves as a trigger to escalate the case to another tier when certain parameters are met))].

It would have been obvious to one of ordinary skill in the art at the time of the applicant's invention to view all cases opened for a given customer with the motivation of allowing retrieval of case information for an entity connected to the immediate network.

As per Claim 2, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a notification system for automatically generating

emails when a new case is opened. (0060; 0061; 0140)

As per Claim 3, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a system that allows support providers to check-in/check-out cases. (0039)

As per Claim 4, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a set of business rules that determines what level of case information is to be made available to customers and support providers. (0044; 0045; 0046; 0114;.0124)

As per Claim 5, Angel further discloses the CRM system of claim 1, wherein the case management system further includes a set of business rules that determines how cases are to be assigned and escalated among the different tiers of support providers. (0059; 0065; 0087) (Examiner interprets "triggers" to include business rules that may be used to activate a "handoff" to another tier of customer support.)

As per Claim 6, Angel further discloses the CRM system of claim 1, wherein the compliance tracking system includes a set of business rules that determines a compliance risk level for each customer. (0044; 0059)

4. As per Claim 9, Angel further discloses the CRM system of claim 6, wherein the compliance tracking system includes a system for creating a new customer case when a predetermined compliance risk level occurs. (0059; 0060)

As per Claim 10, Angel further discloses a method for providing customer relationship management (CRM) via a computer network, comprising:

- providing a network node that allows distributed access for customers and support

providers to a CRM System; (0043)

-opening a new case within the CRM system when a customer issue occurs; (0105;

0140) (A new user session or ticket is created and saved within a customer database.) -

adding the new case to a customer case management page; (0140)

- displaying a compliance indicator when the customer case management page is

viewed; ((0087) (Includes an exit node indicator on the customer session page that

serves as a trigger to escalate the case to another tier when certain parameters are

met, also, a compliance indicator is initiated by the actual CRM session being executed

in the particular dialog state specified since in [0059], it is shown that the user is

prompted [this prompt must be prior to escalating/deescalating a CRM session and

represents a compliance indicator], and this type of information would be included in the

Knowledge container as the description and link to online information and services as

shown in [0030]);

wherein the compliance indicator is based on information related to whether a customer has met certain required pre-set goals set by the CRM system, ([0061], shows a call center customer database is used for entering in customer contact information, product used by the customer, type of problem being experienced by the customer, etc, and the data in database is communicated over the network to the content provider, the content provider then recognizes the user (by username, or a session identifier passed by the customer service representative [through entry in the database]), and subsequently begins the automated CRM session at the particular dialog state specified by the customer service representative, in this case, the customer compliance is

represented by the information entered into the call center customer database since data such as the product used by customer, and problems experienced by customer has an effect and/or relates to a customer meeting his or her goals by being escalated or deescalated into to a session)

5. - assigning the new case to a first tier support provider; (0039; 0059; 0065; 0087)
- determining if the first tier support provider can handle the new case; (0039; 0059; 0065; 0087) and
- escalating the new case to a second tier support provider if the first tier support provider cannot handle the case. (0039; 0059; 0065; 0087)

As per Claim 11, Angel further discloses the method of claim 10, wherein the network node comprises a web portal. (0025; 0080)

As per Claim 13, Angel further discloses the method of claim 10, comprising the further step of generating email notifications according to a set of business rules. (0060; 0061; 0140)

As per Claim 14, The method of claim 10, comprising the further step of having an assigned support provider check out the case from the CRM system. (0039; 0065; 0077; 0087) (A first support provider determines the proper area for which to provide service and then transfers the case. Examiner interprets transferring the case to another support provider to include "checking out" the case from the prior provider.)

As per Claim 15, Angel further discloses the method of claim 10, wherein the step of opening a new case is performed by the customer at the network node. (0059; 0061) (A user initiates a session using a network, such as the Internet).



As per Claim 16, Angel further discloses the method of claim 10, wherein the step of opening a new case is initiated automatically when the customer is out of compliance. (0059) (When certain parameters are met, a new, escalated, customer session is automatically initialized with another support provider.)

As per Claim 18, Angel further discloses a program product stored on a recordable medium that provides a customer relationship management (CRM) tool via the web, comprising:

- a portal page for providing distributed access on the web for customers and support providers to case information within the CRM tool; (0025; 0039; 0059)
- a customer management module for managing customer cases and for assigning cases to different tiers within a support provider hierarchy; (0059; 0065; 0099) and
- a customer compliance module retrieves previously loaded customer compliance data from a database; wherein the compliance data consists of information related to whether a customer has met certain required pre-set goals set by the CRM system, compares the compliance data for each customer with predetermined levels to track customer compliance and displays a compliance indicator on customer case management page, (0059; 0065; 0099, w/[0061], shows a call center customer database is used for entering in customer contact information, product used by the customer, type of problem being experienced by the customer, etc, and the data in database is communicated over the network to the content provider [therefore making retrieving the data from the database inherent], the content provider then recognizes the user (by username, or a session identifier passed by the customer service

representative [through entry in the database]), and subsequently begins the automated CRM session at the particular dialog state specified by the customer service representative, in this case, the customer compliance is represented by the information entered into the call center customer database since data such as the product used by customer, and problems experienced by customer has an effect and/or relates to a customer meeting his or her goals by being escalated or deescalated into to a session, thereby making “comparing” inherent since information from the database has to be recognized by the content provider and therefore some type of comparing between database information, and information that the content provider already recognizes must take place. In addition, the compliance indicator is represented by the actual CRM session being executed in the particular dialog state specified since in [0059], it is shown that the user is prompted [this prompt must be prior to escalating/deescalating a CRM session, and this type of information would be included in the Knowledge container as the description and link to online information and services as shown in [0030], w/((0087) (Includes an exit node indicator on the customer session page that serves as a trigger to escalate the case to another tier when certain parameters are met)).

As per Claim 19, Angel further discloses the program product of claim 18, wherein the case management module further includes a notification system for automatically generating emails when a new case is opened. (0060; 0061; 0140)

As per Claim 20, Angel further discloses the program product of claim 18, wherein the case management module further includes a system that allows support providers to

check-in/check-out cases. (0039)

As per Claim 21, Angel further discloses the program product of claim 18, wherein the case management module further includes a set of business rules that determines what level of case information is to be made available to customers and support providers.

(0044; 0045; 0046; 0114; 0124)

As per Claim 22, Angel further discloses the program product of claim 18, wherein the case management module further includes a set of business rules that determines how cases are to be assigned and escalated among the different tiers of support providers.

(0059; 0060; 0065; 0078; 0087; 0100)

As per Claim 23, Angel further discloses the program product of claim 18, wherein the compliance tracking module includes a set of business rules that determines a compliance risk level for each customer. (0044; 0059)

As per Claim 26, The program product of claim 23, wherein the compliance tracking module includes a system for creating a new customer case when a predetermined compliance risk level occurs. (0059) (When certain parameters are met, a new, escalated, customer session is automatically initialized with another support provider.)

6. Claims 7-8, 12, 17, 24-25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Angel in view of Pope et al. (U.S. Patent Pub. No. US 2003/0055737 A1) (hereinafter Pope).

As per claims 7-8, 12, 17 and 24-25, Angel discloses mostly all of the limitations including wherein the portal page provides access to a customer case management page for viewing all cases opened for a given customer and a case summary page for viewing details of individual cases as shown in 0030, where a returned content list is shown.

However, Angel fails to disclose wherein the compliance risk level is selected from the group consisting of: in compliance, in danger of becoming out of compliance, and out of compliance and also wherein the compliance indicator comprises a traffic light indicator having a green, yellow and red light. Pope discloses a software application that uses a stoplight indicator (green, yellow, red) to indicate the compliance of a particular entity that a user wishes to perform an electronic transaction with. (0007; 0008; 0033) Pope further discloses that the green, yellow, and red lights indicate secure (green), risk of security (yellow), and non-secure (red). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to utilize the use of a traffic light as taught by Pope in combination with the compliance indication taught by Angel because the use of a traffic signal image to indicate levels of risk, status, or compliance was well-known within the art of software development and serves as an effective and universal means to indicate risk, status, or compliance within a software application. Further, it would have been obvious to one Of ordinary skill in the art at the time of applicant's invention to choose compliance risk levels in compliance, danger of becoming out of compliance, and out of compliance based upon the levels of secure, risk of insecure, and non-secure as taught by Pope because based upon applicant's

broad definition of "compliance" (Specification, Page 9) the actual compliance parameter could be any parameter in any industry including a security risk.

### ***Response to Arguments***

7. Applicant's arguments filed 2/18/08 have been fully considered but they are not persuasive.

As per claims 1, (and similarly to claims 10 and 18), applicant argues that Angel does not teach a case management system for managing customer cases, but Angel merely provides a system for submitting queries and retrieving content from one or more disparate providers. However, in [0030], Angel discloses an example where a returned content list is provided to include information about particular customer service personnel within a content body, and their corresponding areas of expertise, and furthermore, based on this descriptive information, the user could select one or more such human information providers, and be linked to that provider. In this case, it is true that content is being retrieved for a provider, however, the information on a particular customer service personnel represents a case, and the customer service personnel represents the customer, since according to dictionary.com, a case is defined as "a specific occurrence or matter requiring discussion, decision, or investigation...", and in this situation, investigation is being performed on the customer service provider. In this situation, even though Angel describes information is being retrieved about customer

service personnel, case information, and details of the case are still being retrieved for an entity of that particular network, thereby making this limitation obvious with Angel.

Applicant also argues that there is different understanding of the term "compliance information" between the examiner and the applicant. Therefore, applicant has amended the claims to provide further clarification that the goals that must be met to indicate compliance in the claimed invention are the goals that are set by the CRM system itself, not the user's goals. However, Angel discloses a call center customer database used for entering in customer contact information, product used by the customer, type of problem being experienced by the customer, etc, in [0061]. Here, the data in the database is communicated over the network to the content provider, the content provider then recognizes the user (by username, or a session identifier passed by the customer service representative [through entry in the database]), and subsequently begins the *automated CRM* session at the particular dialog state specified by the customer service representative. In this case, the customer compliance is represented by automation of the information entered into the call center customer database by the CRM through the automated CRM session since data such as the product used by customer, and problems experienced by customer has an effect and/or relates to a customer meeting his or her goals by being escalated or deescalated into the automated session. Although true that the user physically enters session data, these values are not set until received and recognized by the CRM system, and therefore, the CRM system is ultimately responsible for setting the entered data.

As per claim 10, (and similarly claims 1 and 18), applicant argues that prior art fails to teach or suggest displaying a compliance indicator on a case management page, and believe that the conflicting interpretation of “compliance” plays a position in why the examiner and applicants disagree, and argues that the exit node indicator of Angel simply identifies when a user has a customer service issue that has been routed to the wrong automated system, or wrong customer service representative. However, this exit node indicator serves as a trigger to escalate the case to another tier when certain parameters are met, and is based on the fact that the customer is operating a particular hardware or operating system, thereby suggesting that if the customer changes hardware/operating systems, or if goals pertaining to usage of the hardware/operating system is not met to indicate compliance, an indication is triggered. In addition, and more importantly, Angel discloses “compliance” as indicated in the previous paragraph, and in addition, as disclosed in the rejection, the compliance indicator is represented by the actual CRM session being executed in the particular dialog state specified since in [0059], it is shown that the user is prompted [this prompt must be prior to escalating/deescalating a CRM session, and this type of information would be included in the Knowledge container as the description and link to online information and services as shown in [0030], which represents this type of information being included on a case management page.

***Conclusion***

8. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Akiba K Robinson-Boyce whose telephone number is 571-272-6734. The examiner can normally be reached on Monday-Friday 9am-5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Hayes can be reached on 571-272-6708. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the

•Patent Application Information Retrieval (PAIR) system, Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you



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have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

A. R. B.  
May 22, 2008

/Akiba K Robinson-Boyce/  
Primary Examiner, Art Unit 3628